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2131  
#3/7-28-9  
V. Jones  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Matthew Carter, et al.

Serial No.: 09/833,281

Group Art Unit: 2131

Filing Date: April 12, 2001

Examiner: Not yet assigned

For: Encryption and Authentication Methods and Apparatus for Securing Telephone Communications

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DATE OF DEPOSIT: June 25, 2001

I HEREBY CERTIFY THAT THIS PAPER IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231.

TYPED NAME: Joseph R. Condo  
REGISTRATION NO.: 42,431

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §1.56 and in accordance with 37 C.F.R. §§1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 C.F.R. §1.56(b).



In accordance with §1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in §1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the

mailing date of a first office action after the filing of request for continued examination under §1.114, no additional fee is required.

- ☐ In accordance with §1.129(a), this Information Disclosure Statement is being filed in connection with ☐the first or ☐second After Final Submission, therefore:

☐ Certification in Accordance with §1.97(e) is attached; or

☐ The fee of **\$180.00** as set forth in §1.17(p) is attached.

- ☐ In accordance with §1.97(c), this Information Disclosure Statement is being filed after the period set forth in §1.97(b) above but before the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311, or before an action that otherwise closes prosecution in the application, therefore:

☐ Certification in Accordance with §1.97(e) is attached; or

☐ The fee of **\$180.00** as set forth in §1.17(p) is attached.

- ☐ In accordance with §1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with §1.97(e); and the submission fee of **\$180.00** as set forth in §1.17(p).

- ☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.

- ☐ Copies of references listed on the attached Form PTO-1449 are enclosed

herewith

EXCEPT THAT:

- ☐ In view of the voluminous nature of references **[list as appropriate]**, and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.

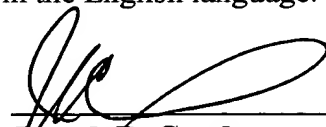
- ☐ In accordance with § 1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. § 120 have been made in the instant application:
- ☒ Copies of references **[list as appropriate]** listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. **09/428,844**, filed **October 28, 1999**.
- ☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.  
This form is submitted in duplicate.

The relevance of those listed references which are not in the English language is as follows:

There are no listed references which are not in the English language.

Date: June 25, 2001

  
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<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office	Docket No. <b>LCOM-0605</b>	Serial No. <b>09/833,281</b>
	Applicant <b>Matthew Carter, et al.</b>	
	Filing Date <b>April 12, 2001</b>	Group <b>2131</b>

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	AA	2,898,402	08/04/59	Cory et al.	178	22
	AB	2,951,120	08/30/60	Dingley, Jr.	178	22
	AC	3,781,472	12/25/73	Goode et al.	178	22
	AD	4,167,700	09/11/79	Coe et al.	352	32
	AE	4,211,891	07/08/80	Glitz	375	2
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	AH	4,691,355	09/01/87	Wirstrom et al.	380	23
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List of Patent and Publications  
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(Use several sheets if necessary)

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AB	Branstad, D., et al., "SP4: A Transport Encapsulation Security Protocol," <i>A Collection of Technical Papers: AIAA/ASIS/IEEE Third Aerospace Computer Security Conference: Applying Technology to Systems</i> , Orlando, Florida, December 7-11, 1987, 143-147		
AC	Cain, R., et al., "12000 BPS Telephone Modem for Digital Voice Security," <i>1985 Carnahan Conference on Security Technology</i> , May 15-17, 1985, 25-28		
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	<b>AR</b>	Williamson, J. (ed.), <i>Jane's Military Communications</i> , 11 <sup>th</sup> Edition, <i>Encryption &amp; Security</i> , 1990-1991, 541-543	
	<b>AS</b>	Williamson, J. (ed.), <i>Jane's Military Communications</i> , 12 <sup>th</sup> Edition, <i>Encryption &amp; Security</i> , 1991-1992, 499-501, 506	
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<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office		Docket No. <b>LCOM-0605</b>	Serial No. <b>09/833281</b>
		Applicant <b>Matthew Carter, et al.</b>	
		Filing Date <b>April 12, 2001</b>	Group <b>2131</b>
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	<b>AT</b>	"Telephone and voice recording," <i>All Telephone and Voice Recordering Products</i> (page 2 of 4), <a href="http://www.force-ten.com/forceten/tele_recorders2.htm">http://www.force-ten.com/forceten/tele_recorders2.htm</a> , May 1, 2000, 1 page	
	<b>AU</b>	"QuickTap telephone handset tap," <a href="http://www.jkaudio.com/products/product3.htm">http://www.jkaudio.com/products/product3.htm</a> , May 1, 2000, 1 page	
	<b>AV</b>	"THAT-1 telephone handset audio tap," <a href="http://www.jkaudio.com/product11.htm">http://www.jkaudio.com/product11.htm</a> , May 1, 2000, 2 pages	
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	<b>BA</b>	"The voice changer II," <a href="http://www.clever.net/security/voic.htm">http://www.clever.net/security/voic.htm</a> , May 2, 2000, 1 page	
	<b>BB</b>	"Talk link voice changer," <i>Spy Supply Online: Phone Security</i> , <a href="http://www.spysupplyonline.com/phonesec.html">http://www.spysupplyonline.com/phonesec.html</a> , May 1, 2000, 1 page	
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<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
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	<b>BE</b>	"CSD 3600," <i>Secure encrypted telephone and cellular solutions by TCC</i> , <a href="http://135.145.192.160/csd3600.htm">http://135.145.192.160/csd3600.htm</a> , May 2, 2000, 3 pages	
	<b>BF</b>	"For your ears only: inexpensive telephone encryption arrives," <i>Leadership Defined</i> , <a href="http://one.41/http://www.comput...frames">wysiwig://one.41/http://www.comput...frames</a> , May 9, 2000, 2 pages	
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